

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Ronald E. Sloan	
Serial No.:	09/930,786	Conf. No. 3301
Filed:	August 15, 2001	Group Art Unit: 3692
Title:	AUTOMATED FINANCIAL PORTFOLIO COACHING AND RISK MANAGEMENT SYSTEM	Examiner: Nga B. Nguyen
Docket No.:	60021-375602	

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Mail Stop Amendment  
Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir:

Please amend the Title to read as follows:

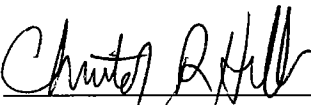
AUTOMATED FINANCIAL PORTFOLIO COACHING AND RISK MANAGEMENT  
SYSTEM

Attached for your reference, are copies of the following:

1. A red-lined Filing Receipt showing the above-identified correction; and
2. Copies of pages 1 and 2 of an Amendment filed with the USPTO on April 19, 2004, with an acknowledgement stamp of April 22, 2004 by the USPTO.

If any fees are due in connection with the filing of this paper, then the Commissioner is authorized to charge such fees, including fees for any extension of time, to Deposit Account No. 50-1901 (Docket 60021-375602).

Respectfully submitted,

By   
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In reply to Office Action mailed: December 18, 2003  
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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Serial #: 09/930,786  
Applicant: Ronald E. Sloan et al.  
Filed: August 15, 2001  
Title: AUTOMATED FINANCIAL PORTFOLIO COACHING AND RISK MANAGEMENT  
SYSTEM (as amended herein)

Group Art: 3628  
Examiner: J. Pwu  
Docket #: 60021-375602

**RECEIVED**

APR 28 2004

**CERTIFICATE OF MAILING**

**GROUP 3600**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail with sufficient postage and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 19, 2004.

*Ann Pommier*

Ann Pommier

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**AMENDMENT AND RESPONSE TO OFFICE ACTION**

In response to an Office action mailed December 18, 2003 (Office Action). Please amend the above-identified application as follows:

**Amendments to the Specification** are found on page 2 of this paper.

**Amendments to the Claims** are reflected in the listing of claims, which begins on page 3 of this paper.

**Remarks/Arguments** begin on page 12 of this paper.

Serial #: 09/930,786

In reply to Office action mailed: December 18, 2003

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**Amendments to the Specification**

Please amend the specification without prejudice as follows, and consider the subsequent remarks.

**IN THE TITLE**

AUTOMATED FINANCIAL PORTFOLIO COACHING AND RISK MANAGEMENT SYSTEM



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/930,786	08/15/2001	2164	1236	60021-375602	16	42	3

29838

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PALO ALTO, CA 94304

CONFIRMATION NO. 3301

UPDATED FILING RECEIPT



\*OC000000007873661\*

Date Mailed: 04/16/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Ronald E. Sloan, Toronto, CANADA;  
Stephen B. Slutsky, Toronto, CANADA;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/705,287 11/01/2000  
AND A CON OF 09/431,390 11/01/1999  
AND A CON OF 09/580,352 05/25/2000

## Foreign Applications

If Required, Foreign Filing License Granted 09/12/2001

Projected Publication Date: 07/25/2002

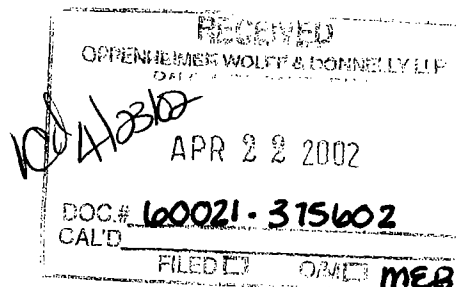
Non-Publication Request: No

Early Publication Request: No

## Title

~~Financial portfolio risk management~~  
Automated Financial Portfolio  
Preliminary Class

Coaching and Risk Management System



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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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